**Investigation Summary (UReport)**

Form Number: UM 1844

This investigation summary (or a Unit’s own form) must be submitted upon completion of the investigation.

*Send to University Compliance Program at ucomply@umn.edu.*

**Note:** Individuals who are responsible for investigating allegations of misconduct may alternatively use final report templates of their own, provided that all the information requested below is included in the unit template.

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| --- | --- | --- | --- | --- | --- | --- |
| UReport Information | | UReport # | | | |  |
|  | | **Date UReport Received** | | | |  |
|  | | **Date UReport Summary Received** | | | |  |
|  | | | | | | |
| Name(s) of person(s) assigned to the UReport | | |  | | | |
| Unit assigned to the U Report | | |  | | | |
|  | | |  | | |  |
| Investigation Details | | | | | |  |
|  | |  | | | |  |
| Summary of the U Report Initial Assessment | | | | | | |
| Identify the following: | | * Name of the complainant | | |  | |
| * Brief description of the alleged violation(s) or concern(s) | | |  | |
| * Law/regulation/policy that was allegedly violated | | |  | |
| * The dates and location of the alleged violation or concern | | |  | |
| * Unit or individual(s) alleged to have engaged in the violation or conduct | | |  | |
| * Individuals named in the report who may have knowledge of the alleged violation or conduct | | |  | |
| Other known actions taken by the complainant and/or respondent (select all that apply) | | None | | | Lawsuit | |
| Union/bargaining unit actions | | | Reported to a government or state agency | |
| Filed with the Office for Conflict Resolution | | | Other – please provide more details:  Other: | |
| Review and investigation | | Was the allegation reviewed? | | | Yes  No | |
| Was a formal investigation conducted? | | | Yes  No | |
| If Yes, list the allegation(s) that was investigated (if any) | |  | | | | |
|  | |  | | |  | |
|  | |  | | | |  |
| Investigation Summary | | | | | | |
| Provide summary information from the interviews and other evidence gathered. | * Who was interviewed (name, title, unit? | | |  | | |
| * What information was collected? | | |  | | |
| * Did you determine that a violation of law or University policy occurred? | | |  | | |
| * What is the basis for your determination (for each law and University policy)? | | |  | | |
| * Who was informed of this determination (name, title, unit)? | | |  | | |
| * Were any follow-up steps recommended? | | |  | | |
| If there were follow-up steps, what actions were identified (select all that apply)? | Training  Counseled/coached  Disciplinary action (specify the disciplinary action taken) | | | Control improvements  Modify procedures  No action necessary  Other/more details (provide details around the other actions taken | | |
| Who is tasked with ensuring that the follow-up actions are taken? | | |  | | |
| Answer these if the allegation was substantiated. | Has the follow-up action(s) been taken? | | |  | | |
| If yes, provide the date the action was taken. | | |  | | |
| If no, specify the date by which the follow-up action will be taken. | | |  | | |
| Answer these if no investigation was conducted. | * Why was a formal investigation not conducted? | | |  | | |
| * What follow-up steps were taken and by whom (name, title, unit)? | | |  | | |
| * Who was contacted (name, title, unit)? | | |  | | |
| * What other follow-up steps are anticipated? | | |  | | |